APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/963,292	09/25/2001	David Gok Louie	SBL0016US	9643

60975 7590 07/25/2007		EXAMINER
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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

PTOL-90A (Rev. 04/07)

	Application No.	Applicant(s)
Office Action Summary	09/963,292	LOUIE ET AL.
	Examiner	Art Unit	
	Michael Y. Won	2155	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>01 June 2007</u>.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-36* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-36* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO/SB/08)

    Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)

    Paper No(s)/Mail Date. _____.

5)☐ Notice of Informal Patent Application

6)☐ Other: _____.

DETAILED ACTION

1.   This action is in response to the amendment filed June 1, 2007.

2.   Claims 1, 8, 14, 18, 19, 21-24, 28, 30, and 36 have been amended and claim 37

has been cancelled.

3.   Claims 1-36 have been examined and are pending with this action.

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

> The specification shall conclude with one or more claims particularly pointing out and distinctly
> claiming the subject matter, which the applicant regards as his invention.

4.   Claims 1 and 24 are rejected under 35 U.S.C. 112, second paragraph, as being

indefinite for failing to particularly point out and distinctly claim the subject matter which

applicant regards as the invention.

Claims 1 is rejected under 35 U.S.C. 112, second paragraph, as being

incomplete for omitting essential structural cooperative relationships of elements, such

omission amounting to a gap between the necessary structural connections. See

MPEP § 2172.01. The omitted structural cooperative relationships of claim 1 are: the

means between the means for selecting one or more selected operations on the

business component to be audited and the means for creating an audit trail <u>for the</u>

<u>application program</u> (emphasis added), especially since, the applicants have presently

amended to explicitly recite that the business component is a "record in a database

separate from the application program".

Claim 24 is rejected under 35 U.S.C. 112, second paragraph, as being

incomplete for omitting essential steps, such omission amounting to a gap between the

steps. See MPEP § 2172.01. The omitted steps are: a correlation or relationship of

"auditing an application program" comprising "creating an audit trail and a user selects

"one or more selected operations to be audited for the selected business component"

which are separate from the application program (emphasis added).

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that

form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1-5, 7-16, 18-27, and 29-36 are rejected under 35 U.S.C. 102(b) as being

anticipated by Kao et al. (US 6,070,177).

INDEPENDENT:

As per **claim 1**, Kao teaches an apparatus comprising an application program

(see col.3, line 67-col.4, line 3: "network client runs a 'web browser', which is simply an

application program for accessing and providing...") comprising:

one or more business components, wherein a business component comprises

one or more fields corresponding to records in a database separate from the application

program (see Fig.3; col.1, lines 34-36: "database forms are often created to present the

data corresponding to a specific activity"; and col.3, lines 14-15: "request and receive

documents or database files comprising data or object descriptors"),

　　　means for selecting a business component to be audited from the one or more

business components (see col.10, lines 8-13: "a user selects a database form to use for

a particular request"),

　　　means for selecting one or more selected operations on the business component

to be audited (see col.5, lines 11-13: "modify the data within the form"), and

　　　means for creating an audit trail for the application program (see col.4, lines 58-

62: "stores data created for that program" and col.5, lines 51-56: "information relating to

each user is appended to the audit trail"),

　　　means for providing the audit trail to the database associated with the fields of

the business component (see col.4, lines 58-67: "Various types of data relating to

different activities can be stored in a network server 104 by the database application").

　　　As per **claim 14**, Kao teaches a system comprising:

　　　a processor (see col.3, lines 15-20: "CPU"); and

　　　a memory coupled to the processor and storing a first set of instructions,

executable by the processor (see col.3, lines 26-28: "loaded into memory"), configured

to provide a business component wherein the business component comprises one or

more fields corresponding to records in a database separate from the application

program (see Fig.3; col.1, lines 34-36: "database forms are often created to present the

data corresponding to a specific activity"; and col.3, lines 14-15: "request and receive documents or database files comprising data or object descriptors"),

a second set of instructions (see col.3, lines 26-28: "instructions"), executable by the processor, configured to provide user interface (see col.3, line 67-col.4, line 3: "web browser"), wherein the user interface is configured to allow selection of a selected field of the one or more fields and one or more selected operations to be audited on the selected fields (see col.10, lines 8-13: "a user selects a database form to use for a particular request"),

a third set of instructions (see col.3, lines 26-28: "instructions"), executable by the processor, configured to detect when the selected operations are performed on the selected fields (see col.6, lines 46-51: "automatically entered by the client computer or server computer upon a specific event"),

a fourth set of instructions (see col.3, lines 26-28: "instructions"), executable by the processor, configured to generate an audit transaction record regarding the selected field when the selected operations are detected (see col.9, lines 21-24: "data in the audit trail con only be added or modified by specific actions related to the transmission of the request"), and

a fifth set of instructions (see col.3, lines 26-28: "instructions"), executable by the processor, configured to provide the audit transaction record to the database associated with the fields of the business component (see col.4, lines 58-67: "Various types of data relating to different activities can be stored in a network server 104 by the database application").

As per **claim 24**, Kao teaches a method comprising:

auditing an application program wherein said auditing comprises creating an

audit trail (see col.4, lines 58-62: "stores data created for that program" and col.5, lines

51-56: "information relating to each user is appended to the audit trail");

using the application program (see col.3, line 67-col.4, line 3: "network client runs

a 'web browser', which is simply an application program for accessing and providing...")

to perform audit trail functions (see col.2, lines 63-64: "associating an audit trail with a

database form is disclosed") comprising:

generating a list of business components included in the application program,

wherein a business component of the list of business components comprises one or

more fields corresponding to records in a database separate from the application

program (see Fig.3; col.1, lines 34-36: "database forms are often created to present the

data corresponding to a specific activity"; and col.3, lines 14-15: "request and receive

documents or database files comprising data or object descriptors"),

presenting the list of business components to a user (see Fig.3 and Fig.4);

allowing the user to select a selected business component to be audited (see

col.10, lines 8-13: "a user selects a database form to use for a particular request");

presenting the list of operations that can be performed on the selected business

component to the user (see Fig.4 and Fig.5);

allowing the user to select one or more selected operations to be audited for the

selected business component (see col.5, lines 11-13: "modify the data within the form"),

and

providing the audit trail to the database associated with the fields of the business

component (see col.4, lines 58-67: "Various types of data relating to different activities

can be stored in a network server 104 by the database application").

DEPENDENT:

As per **claim 2**, which depends on claim 1, Kao further teaches wherein the

application program further comprises: means for detecting when the selected

operations are performed (see col.6, lines 46-51: "automatically entered by the client

computer or server computer upon a specific event").

As per **claim 3**, which depends on claim 2, Kao further teaches wherein the

application program further comprises: means for generating an audit transaction record

regarding the business component when the selected operations are detected (see

col.5, lines 51-56: "information relating to each user is appended to the audit trail").

As per **claim 4, 15, and 25**, which depend on claims 1, 14, and 24, respectively,

Kao further teaches wherein the selected or list of operations to be audited include at

least one of: update, add, copy, and delete (see col.5, lines 11-13: "modify the data

within the form").

As per **claim 5, 16, and 26**, which depend on claims 1, 14, and 24, respectively,

Kao teaches of further comprising means for allowing the user to restrict access to the

audit trail by at least one of: an employee identifier, an employment position, and an

area of responsibility (see col.5, lines 29-33: "authorized to make changes"; col.6, lines

19-22; and col.7, lines 42-44: "employee to a supervisor or personnel department").

As per **claims 7, 18, and 29**, which depend on claims 3, 14, and 27, respectively,

Kao teaches of further comprising means for storing the audit transaction record in a file

(see col.4, lines 47-50: "that create and store files and data").

As per **claims 8, 19, and 30**, which depend on claims 7, 18, and 29, respectively,

Kao further teaches wherein the means for providing the audit trail comprises means for

importing the audit transaction record stored in the file to the database (see col.4, lines

58-67: "The data can be entered into the server computer directly or into a client

computer coupled to the server over a network").

As per **claims 9, 20, and 31**, which depend on claims 3, 14, and 27, respectively,

Kao further teaches wherein the audit transaction record includes at least one of: an

identifier for the entity that accessed the business component or the field, the operation

that was performed on the business component, when the operation was performed, a

previous value of the field, a current value of the field, and how the value of at least a

portion of the business component was changed (see col.5, lines 40-44: "lists such

information as the name or ID of the user who created the form, the names or ID's of

each of the users who received the form, the data and time of reception, any action

taken by each user, and other such information").

As per **claims 10, 21, and 32**, which depend on claims 3, 14, and 27,

respectively, Kao teaches of further comprising means for allowing the user to query

one or more of the audit transaction records (see col.5, lines 40-48: "provides a means by which the transmission history and actions taken regarding a particular document, set of data, or database form may be viewed by the users of the document or form").

As per **claims 11, 23, and 33**, which depend on claim 2, 14, and 27, respectively, Kao teaches of further comprising means for prompting the user to enter a comment or a description of the operation when the selected operations are detected (see col.6, lines 53-56: "Other fields in the audit trail may be text entry fields that allow a user to type information directly into the audit trail").

As per **claims 12 and 34**, which depend on claims 1 and 24, respectively, Kao further teaches wherein the one or more selected business components comprise one or more fields, and further comprising: means for selecting the one or more fields to be audited (see col.7, lines 22-24: "make changes or revisions to the contents of a form"; and col.10, lines 8-13: "a user selects a database form to use for a particular request"); and means for generating an audit transaction record when one of the selected operations on one of the selected fields is detected (see col.6, lines 46-51: "automatically entered by the client computer or server computer upon a specific event").

As per **claims 13, 22 and 35**, which depend on claims 1, 14, and 34, respectively, Kao teaches of further comprising means for allowing the user to restore the one or more of the fields to a previous state or value (see col.8, lines 48-55: "return the request back").

As per **claim 27**, which depend on claim 24, Kao teaches of further comprising:

detecting when the selected operations are performed on one of the selected business

components (see col.6, lines 46-51: "automatically entered by the client computer or

server computer upon a specific event"); and generating an audit transaction record

when the selected operations are detected (see col.9, lines 21-24: "data in the audit trail

con only be added or modified by specific actions related to the transmission of the

request").

As per **claim 36**, which depend on claim 24, Kao further teach of a computer-

readable storage medium comprising: instructions for implementing the method of claim

24 (see col.3, lines 26-50: "instructions").

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

6.   Claims 6, 17, and 28 are rejected under 35 U.S.C. 103(a) as being unpatentable

over Kao et al. (US 6,070,177) in view of Rivera et al. (US 6,056,786).

As per claim 6, 17, and 28, which depend on claims 3, 14, and 27, respectively,

Kao does not explicitly teach of further comprising means for storing the audit

transaction record in an external database.

Rivera teaches storing the audit transaction record in an external database (see col.6, lines 21-24: "The audit log 72 can be stored in an internal data base of the server program 64 or in an external database").

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the system of Kao in view of Rivera by implementing storing the audit transaction record in an external database. One would be motivated to do so because Kao teaches that the network of the invention comprises the World Wide Web, which clearly consists of internal and external databases, and because the storage locale of any data is subjective.

Response to Arguments

7.   Applicant's arguments with respect to claims 1-36 have been considered but are moot in view of the new ground(s) of rejection. Based on the amendment and after further search and consideration, Kao et al. (US 6,070,177) has been cited to teach all the limitations of claims 1-5, 7-16, 18-27, and 29-36. Rivera et al. (US 6,056,786) has been cited to teach the missing limitations with respect to claims 6, 17, and 28.

For the reasons above claims 1-36 have been rejected and remain pending with this action.

8.   Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael Y. Won whose telephone number is 571-272-3993. The examiner can normally be reached on M-Th: 7AM-5PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Saleh Najjar can be reached on 571-272-4006. The fax phone number for

the organization where this application or proceeding is assigned is 571-273-8300.

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system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Michael Won/

Primary Examiner

July 11, 2007